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PTO/SB/05 (11-00)
Approved for use through 10/31/2002. OMB 0651-0032

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 503.33904RC1

First Inventor T..TANAKA, et al

Title Liquid Crystal Display Apparatus

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 16]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 13]
5. Oath or Declaration [Total Pages 4]
 - a. ☐ Newly executed (original or copy)
Copy from a prior application (37 CFR 1.63 (d))
 - b. ☒ (for continuation/divisional with Box 18 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Offer to Surrender Patent Statement under 37 CFR 3.73 (b)

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: 09,644,979

Prior application information:

Examiner J. Brier

Group Art Unit: 2672

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label



or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Melvin Kraus

Registration No. (Attorney/Agent)

22,466

Signature

Date

Sept. 28, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

Complete if Known

Application Number	
Filing Date	September 28, 2001
First Named Inventor	T. TANAKA, et al
Examiner Name	
Group Art Unit	
Attorney Docket No.	503.33904RC1

TOTAL AMOUNT OF PAYMENT (\$1,688.00)

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 01-2135
Deposit Account Name:

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status See 37 CFR 1.27

2. ☒ Payment Enclosed:

☐ Check ☒ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

BASIC FILING FEE

Large Entity Code	Small Entity Code	Fee (\$)	Fee Description	Fee Paid
101	201	710	Utility filing fee	710.00
106	206	320	Design filing fee	
107	207	490	Plant filing fee	
108	208	710	Reissue filing fee	710.00
114	214	150	Provisional filing fee	

SUBTOTAL (1) (\$710.00)

EXTRA CLAIM FEES

Extra Claims Fee from below Fee Paid
Total Claims 46 - 20** = 26 x 18 = 468
Independent Claims 6 - 3** = 3 x 80 = 240
Multiple Dependent 270 = 270

Large Entity Code	Small Entity Code	Fee (\$)	Fee Description
103	203	18	Claims in excess of 20
102	202	80	Independent claims in excess of 3
104	204	270	Multiple dependent claim, if not paid
109	209	80	** Reissue independent claims over original patent
110	210	18	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$978.00)

**for number previously paid, if greater. For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Code	Small Entity Code	Fee (\$)	Fee Description	Fee Paid
105	205	130	Surcharge - late filing fee or oath	
127	227	50	Surcharge - late provisional filing fee or cover sheet	
139	239	130	Non-English specification	
147	247	2,520	For filing a request for <i>ex parte</i> reexamination	
112	212	920*	Requesting publication of SIR prior to Examiner action	
113	213	1,840*	Requesting publication of SIR after Examiner action	
115	215	110	Extension for reply within first month	
116	216	390	Extension for reply within second month	
117	217	890	Extension for reply within third month	
118	218	1,390	Extension for reply within fourth month	
128	228	1,890	Extension for reply within fifth month	
119	219	310	Notice of Appeal	
120	220	310	Filing a brief in support of an appeal	
121	221	270	Request for oral hearing	
138	238	1,510	Petition to institute a public use proceeding	
140	240	110	Petition to revive - unavoidable	
141	241	1,240	Petition to revive - unintentional	
142	242	1,240	Utility issue fee (or reissue)	
143	243	440	Design issue fee	
144	244	600	Plant issue fee	
122	222	130	Petitions to the Commissioner	
123	223	50	Petitions related to provisional applications	
126	226	240	Submission of Information Disclosure Stmt	
581	281	40	Recording each patent assignment per property (times number of properties)	
146	246	710	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	249	710	For each additional invention to be examined (37 CFR § 1.129(b))	
179	279	710	Request for Continued Examination (RCE)	
169	269	900	Request for expedited examination of a design application	

Other fee (specify) _____

Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

SUBMITTED BY

Name (Print Type) Melvin Kraus

Registration No. 22,466
(Attorney/Agent)

Complete (if applicable)

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Signature

Melvin Kraus

Date Sept. 28, 2001

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